



PTO/SB/08a/b (08-03)
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	09/481,643	
			Filing Date	January 12, 2000	
			First Named Inventor	Lundy Lewis	
			Art Unit	2176	
			Examiner Name	Chau Nguyen	
Sheet	1	of	10	Attorney Docket Number	APB-014CNRCE3

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CN	RX001	3,036,290	05-22-1962	Zarouni, A.	
CN	RX002	4,622,545	11-11-1986	Atkinson, W.D.	
CN	RX003	5,107,497	04-21-1992	Lirov, Y.V., et al.	
CN	RX004	5,123,017	06-16-1992	Simpkins, L.G., et al.	
CN	RX005	5,125,091	06-23-1992	Staas, Jr., P.C., et al.	
CN	RX006	5,133,075	07-21-1992	Risch, T.J.M.	
CN	RX007	5,226,120	07-06-1993	Brown, B., et al.	
CN	RX008	5,321,837	06-14-1994	Daniel, A.A., et al.	
CN	RX009	5,640,505	06-17-1997	Hearn, R., et al.	
CN	RX010	5,651,006	07-22-1997	Fujino, S., et al.	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	†
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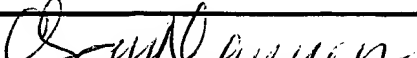
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
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CN	RX011	Adler, R., et al. "Opera - An Expert Operations Analyst for a Distributed Computer System. IEEE. 1998; 179-85.		
CN	RX012	Aguilar, L. "NCMA: A Management Architecture that Integrates Enterprise Network Assets, Integrated Network Management I." in Meandzija et al., eds., <u>Integrated Network Management, I</u> , IFIP 1989; 27-39.		
CN	RX013	Amsel, E. "Network Security and Access Controls." <u>Expert Systems Applications in Integrated Network Management</u> . Elsevier Science Publishers, Ltd. 1988, 346-58.		
CN	RX014	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 1: Transcript of Markman Hearing" October 28, 2004, pp.1-114.		
CN	RX015	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 2: Transcript of Markman" November 4, 2004, pp.1-103.		
CN	RX016	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Deposition of Leonard J. Forsy" July 15, 2004, pp.1-311.		

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/10/2005
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CN	RX017	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Videotaped Deposition of Mani Subramanian" July 22, 2004, pp.1-226.	
CN	RX018	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Memorandum and Order" January 11, 2005, pp.1-33.	
CN	RX019	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Rule 26(a) Report of Mani Subramanian" June 4, 2004, pp.1-28 and Exhibits A-H.	
CN	RX020	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Declaration of Leonard J. Fors" January 11, 2005, pp.1-122 and Attachments 1-8.	
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CN	RX022	Bauer. "NIDX, An Expert System for Real Time Network Intrusion Detection." IEEE 1988; 372-380.	
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CN	RX026	Braden, R.T. "A Pseudo Machine for Packet Monitoring and Statistics." ACM SIGCOMM Computer Communication Review 1988; 18(4):199-208.	
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CN	RX031	Day, C., et al. "Subnetwork Root Cause Alarm System Analysis - An Element Management Layer (EML) Operations Application." IEEE. 1994; 343-57.	
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CN	RX037	Feldkhun, L., et al. "Integrated Network Management Systems (A Global Perspective in the Issue)" in Meandzija et al., eds., <u>Integrated Network Management, I</u> , IFIP 1989; 279-301.	
CN	RX038	Feridun, M., et al. "ANM: Automated Network Management System." <u>IEEE Network</u> . 1988 Mar; 2(2):13-9.	
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CN	RX040	Finkel, A., et al. "An Alarm Correlation for the Heterogeneous Networks." <u>Network Management and Control</u> . 1994; 2:381-90.	
CN	RX041	Forbus, K. "Intelligent Computer Aided Engineering." 1988 AAAL 413-26.	
CN	RX042	C. Gbaguidi, et al. "A Generic Service Management Architecture for Multimedia Multipoint Communications." <u>IFIP IN '95</u> , Copenhagen, Denmark, Aug. 95, 1-9.	
CN	RX043	George, J.A., et al. "The NAS Hierarchical Network Management System, Integrated Management System III." in Hegering et al., eds., <u>Integrated Network Management III</u> , IFIP. 1993, 301-12.	
CN	RX044	Goldman, J., et al. "Integrated Fault Management in Interconnected Networks" in Meandzija et al., eds., <u>Integrated Network Management, I</u> , IFIP 1989; 333-44.	
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CN	RX052	Jander, M. "Real Distributed Management" <u>Data Communications</u> . 1995 Jan, 24(1):116-118	
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CN	RX056	"Information Technology - Open Systems Interconnection - Systems Management: Alarm Reporting Function." <u>ISO/IEC 10164-4</u> . 1992 Dec 15; 1-18.	

Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/26/2005
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CN	RX057	"Information Technology - Open Systems Interconnection - Systems Management: Event Report Management Function." <i>ISO/IEC 10164-5</i> . 1993 Jun 15; 1-18.	
CN	RX058	"Information Processing Systems - Open Systems Interconnection - Basic Reference Model - Part 4: Management Framework." <i>ISO/IEC 7498-4</i> . 1989 Nov 15; 1-9.	
CN	RX059	Jander, M. "Rounding Out the Roster of SNMP Agents. <i>Data Communications</i> . 1995 Jan 1; 24(1):119-21.	
CN	RX060	Jankauskas, L., et al. "Technical Control of the Digital Transmissions Facilities of the Defense Communications System." <i>IEEE Transactions of Communications</i> . 1980 Sep; COM28(9): 1516-23.	
CN	RX061	Jordaan, J., et al. "Event Correlation in Heterogeneous Networks Using the OSI Management Framework." in Hegering et al., eds., <i>Integrated Network Management III, IFIP</i> . 1993; 683-95.	
CN	RX062	Karp, B.C., et al. "The Secure Data Network System." <i>AT&T</i> . 1988; 337-45.	
CN	RX063	Kara, et al. "An Architecture for Integrated Network Management." <i>IEEE</i> . 1989; 191-5.	
CN	RX064	Katzela, I., et al. "Schemes for Fault Identification in Communication Networks." 1-32.	
CN	RX065	Kershenbaum, A., et al., eds. <i>Network Management and Control</i> Plenum Publishing Corp. 1990; 1-448.	
CN	RX066	Kiemba, K.S. "Openview's Architectural Models" in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 565-72.	
CN	RX067	Klerer, S. "The OSI Management Architecture: An Overview." <i>IEEE</i> . 1988 Mar; 76-84.	
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CN	RX072	Laffey, T.J., et al. "Real-Time Knowledge Based Systems." <i>AAAI</i> . 1988; 132-50.	
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CN	RX074	Leinwand, A., et al. <i>Network Management: A Practical Perspective</i> Addison-Wesley 1993 1-222.	
CN	RX075	Lewis, L. "A Case-Based Reasoning Approach to the Resolution of Faults in Communications Networks." in Hegering et al., eds., <i>Integrated Network Management III, IFIP</i> . 1993; 671-82.	
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CN	RX078	Liebowitz, J. <i>Expert System Applications to Telecommunications</i> . John Wiley & Sons. 1988; 3-371.	
CN	RX079	Lirov, <i>et al.</i> "Artificial Intelligence Modeling of Control Systems." Simulation Councils, Inc. 1988, 427-39	
CN	RX080	Lusher, E. "An Expert System for Logistics Management." <i>AI Expert</i> 1988 31(9):46-53.	
CN	RX081	Mahler, D. "Multi-Vendor Network Management - The Realities." in Hegering <i>et al.</i> , eds., <i>Integrated Network Management III, IFIP</i> . 1993; 711-20.	
CN	RX082	Marques, T.E. "A Symptom-Driven Expert System for Isolating and Correcting Network Faults." <i>IEEE</i> . 1988; 251-8.	
CN	RX083	Mazumdar, S., <i>et al.</i> "Knowledge-Based Monitoring of Integrated Networks" <i>IFIP</i> . 1989; 235-43.	
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CN	RX085	Mazumdar, S. "Knowledge-Based Monitoring of Integrated Networks for Performance Management." Columbia University 1990; 1-228.	
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CN	RX088	Micromuse. "Netcool/Utilities Extend Power and Reach of SunNet Manager." <i>Micromuse Press Release</i> , June 13, 1994	
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CN	RX090	Moffett, J.D. "Chapter 17 - Specification of Management Policies and Discretionary Access Control." in Sloman, M., ed. <i>Network and distributed systems management</i> Addison-Wesley 1994 455-80.	
CN	RX091	Moffett, J.D. "Policy Hierarchies for Distributed Systems Management." <i>IEEE JSAC Special Issue on Network Management</i> . 1993 Dec; 11(9):1-22.	
CN	RX092	Moffett, J.D. "User and Mechanism Views of Distributed Systems Management." <i>IEEE/IOF/BCS Distributed Systems Engineering</i> . 1993 Aug; 1(1):1-16.	
CN	RX093	Murrill, B. "OMNIpoint: An Implementation Guide to Integrated Networked Information Systems Management" in Meandzija <i>et al.</i> , eds., <i>Integrated Network Management, I, IFIP</i> 1989; 405-18.	
CN	RX094	Noren, C., <i>et al.</i> "Interfacing an Expert Shell to On-line Applications for Communications Equipment Configuration Management." Noren & Ericoson 1989; 182-91.	
CN	RX095	Oates, T. "Fault Identification in Computer Networks: A Review and a New Approach." Technical Report 95-113, University of Massachusetts at Amherst, Computer Science Department, 1995.	
CN	RX096	Olsen, L., <i>et al.</i> "Understanding Network Management with OOA." <i>IEEE Network Magazine</i> . 1990; 23-8.	

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Substitute for form 1449A/B/PTO <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center;">(Use as many sheets as necessary)</p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center;">Complete if Known</th> </tr> <tr> <td style="width: 50%;">Application Number</td> <td>09/481,643</td> </tr> <tr> <td>Filing Date</td> <td>January 12, 2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Lundy Lewis</td> </tr> <tr> <td>Art Unit</td> <td>2176</td> </tr> <tr> <td>Examiner Name</td> <td>Chau Nguyen</td> </tr> <tr> <td>Attorney Docket Number</td> <td>APB-014CNRCE3</td> </tr> </table>		Complete if Known		Application Number	09/481,643	Filing Date	January 12, 2000	First Named Inventor	Lundy Lewis	Art Unit	2176	Examiner Name	Chau Nguyen	Attorney Docket Number	APB-014CNRCE3
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CN	RX097	Partridge, C., et al. "HMES Variable Definitions." <i>Network Working Group RFC 1024</i> . 1987 Oct; retrieved from the internet at http://www.fags.org/rfcs/rfc1024.html 1-74.	
CN	RX098	Peacock, D., et al. "Big Brother: a Network Services Expert." University of Michigan 1988; 245-50.	
CN	RX099	Rabie, S., et al. "DAD: A Real-Time Expert System for Monitoring of Data Packet Networks." <i>IEEE</i> . 1988; 164-169.	
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CN	RX105	Schaerth, J.P. "A Concept for Tactical Wide-Area Network HUB Management." <i>IEEE</i> . 1994 644-9.	
CN	RX106	Schaller, H.N. "A Concept for Hierarchical, Decentralized Management of Physical Configuration in the Internet." <i>KIVS '95 Chemnitz</i> . 1995 Feb 20-24; 1-14.	
CN	RX107	Schönwalder, J., et al. "How to Keep Track of Your Network Configuration." 1993 <i>LISA</i> . 1993 Nov 1-5; 101-6.	
CN	RX108	Sidou, D. "Behavior Simulation and Analysis Techniques for Management Action Policies (or Hints Towards the Integration of Management Action Policies within TIMS)." Karlsruhe, September 20-21 1995 1-17.	
CN	RX109	Siegl, M.R., et al. "Hierarchical Network Management. A Concept and Its Prototype in SNMPv2." <i>Proceedings JENC6</i> 1995 122-1-10.	
CN	RX110	Skoog, R., et al. "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability." retrieved from the internet at http://www.ee.umd.edu/~shayman/papers.d/noms_2002.pdf 1-13.	
CN	RX111	Sloman, M. "Chapter 16: Domains: A Framework for Structuring Management Policy." in <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company 1994; 433-53.	
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CN	RX114	Sloman, M. "Policy Driven Management for Distributed Systems." <i>Journal of Network and Systems Management</i> . 1994; 2(4):1-22.	
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CN	RX116	Cabletron systems "Spectrum: Spectrophone User's Guide" Cabletron Systems 1997 i-xii, 1-1-A22	
CN	RX117	Stamatelopoulous, F. et al. "A scaleable, platform-based architecture for multiple domain network management." 1995 June, retrieved from the internet at http://www.netmode.ntua.gr/papers/papers/manmib.pdf 9 pages.	
CN	RX118	Stamatelopoulous, F. et al. "Using a DBMS for Hierarchical Network Management." accepted for presentation at the Engineer Conference NETWORKD+INTEROP '95, March 1995, retrieved from the internet at http://www.cs.umd.edu/~nick/papers/2.fotis.pdf 10 pages.	
CN	RX119	Stevenson, D. "Network Management: What It Is and What It Isn't." <i>NMS: Network Management Whitepaper</i> . 1995; 1-26.	
CN	RX120	Strutt, C. "Distribution is an Enterprise Management Director, Integrated Network Management III." in Hegering et al., eds., <i>Integrated Network Management III, IFIP</i> . 1993; 223-45.	
CN	RX121	Summers, R., et al. "Potential Applications of Knowledge-based Methods to Computer Security." 1988 Dec. <i>Computers and Security</i> 7(6):359-71	
CN	RX122	Sutter, M.T., et al. "Designing Expert Systems for Real Time Diagnosis of Self-Correcting Networks." <i>IEEE Network Magazine</i> . 1988; 109-17.	
CN	RX123	Suzuki, M., et al. "Developments of Integrated Management System NETM Based on OSI Standards" in Krishnan, I. et al., eds., <i>Integrated Network Management II IFIP</i> 1991; 189-99.	
CN	RX124	Sylor, M. "Guidelines for Structuring Manageable Entities, Integrated Management Network I." in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 169-83.	
CN	RX125	Terplan, K. <i>Communications and Network Management</i> . Prentice Hall 1990; i-xviii, 1-702.	
CN	RX126	Tjaden, G., et al. "Integrated Network Management for Real-Time Operations." <i>IEEE Network Magazine</i> . 1991 Mar; 10-5.	
CN	RX127	Vassila, A., et al. "Introducing Active Managed Objects for Effective and Autonomous Distributed Management." University College London 1995 Aug 15 pages.	
CN	RX128	Wang, Z. "Model of Network Faults." in Meandzija et al., eds., <i>Integrated Network Management, I, IFIP</i> 1989; 345-52.	
CN	RX129	Warrier, U., et al. "The Common Management Information Services and Protocol Over TCP/IP (CMOT)." <i>Network Management Group RFC 1095</i> . 1989 Apr; 1-67.	
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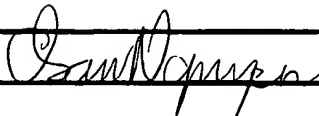
Examiner Signature	<i>Chau Nguyen</i>	Date Considered	07/27/2005
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known			
		Application Number	09/481,643		
		Filing Date	January 12, 2000		
		First Named Inventor	Lundy Lewis		
		Art Unit	2176		
		Examiner Name	Chau Nguyen		
Sheet	8	of	10	Attorney Docket Number	APB-014CNRCE3

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
CN	RX132	Wies, R. "Using a Classification of Management Policies for Policy Specification and Policy Transformation." <i>IFIP/IEEE International Symposium on Integrated Network Management</i> . 1995 May 1-5; 1-14.	
CN	RX133	Zadeh, L.A. "Outline of a New Approach to the Analysis of Complex Systems and Decision Processes." <i>IEEE Transactions on Systems, Man, and Cybernetics</i> . 1973 Jan; SMC-3(1): 28-44.	
CN	RX134	Znaty, S., et al. "Network Management Viewpoints: A New Way of Encompassing the Network Management Complexity." NTT Telecommunications Network Laboratories 1994 Feb. 18 pages.	
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CN	RX136	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Defendant Micromuse Inc.'s 3 rd Supplemental Answers to Plaintiff's First Set of Interrogatories" May 6, 2004, pp.1-50.	
CN	RX137	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Second Amended Answer to Complaint for Patent Infringement and Counterclaim" May 6, 2004, pp.1-14.	

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¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

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CN	RX138	Cabletron's Spectrum Advanced Management System 3.0. "Network Management and Security, Real Distributed Management." Data Communications. 1995 Jan; 116-8.	
CN	RX139	Callahan, P.H. "Expert Systems for AT&T Switched Network Maintenance." AT&T. 1988; 263-73.	
CN	RX140	Herman, P., et al. "A Question-Answering for the French Yellow Pages."	
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CN	RX143	Rosenberg. "Are Users Up in the Air Over Network Management." Network Management and Maintenance. 119.	
CN	RX144	"The OSI Management Architecture: An Overview."	
CN	RX145	ANSI X3.135-1992, Revision and Consolidation of ANSI X3.135-1989 and ANSI X3.168-1989, American National Standard for Information Systems—Database Language—SQL. New York, New York: American National Standards Institute, October 16, 1992.	
CN	RX146	Case, J., et al. "A Simple Network Management Protocol (SNMP)." Network Working Group. 1990 May; 1-36.	
CN	RX147	Frish, I., et al. Network Management and Control, Volume 2. Plenum Press, 1993. i-x, 1-514	
CN	RX148	Mazumdar, S. "Objective-Driven Monitoring." in Krishnan, I. et al., eds. Integrated Network Management II IFIP 1991; 653-857.	
CN	RX149	McCloghrie, K., et al. "Management Information Base for Network Management of TCP/IP-based Internets." Network Working Group. 1988 Aug; 1-90.	
CN	RX150	"Network Management Operations." IEEE Network Magazine. 1991; 5(2).	
	RX151	Terplan, K. Communication Networks Management, 2d. Edition. Prentice Hall 1992 i-xviii, 1-702.	

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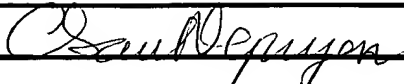
Examiner Signature	<i>Chau Nguyen</i>	Date Considered	08/02/2003
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Substitute for form 1449A/B/PTO				Complete if Known	
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CN	RX152	ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework. Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989.	
CN	RX153	"Network Management Protocols." IEEE Network Magazine. 1988; 2(2).	
CN	RX154	Planning and Reference for NetView, Network Control Program, Virtual Telecommunications Access Method. Document Number SC31-6102-01, IBM Corp., 1992.	

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CN	RX152	ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework. Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989; i-iv, 1-9.	
CN	RX153	"Network Management Protocols." IEEE Network Magazine. 1988; 2(2):1-66.	
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